

# **Process Review Projects Administered by Others District Guideline Questionnaire**

**District:**

**Project #**

**CSJ**

**Type (Enhancement, CMAQ)**

**County/City**

**Project Description**

Answer either section I or II then go to III

## **1. PROJECT IDENTIFICATION (Transportation Enhancement):**

- 1.1 What is the basis for eligibility? (Function, Effect, Proximity)
- 1.2 How was the LPA made aware of the program and funding availability?
- 1.3 What was the date of the LPA application to the .....?
- 1.4 How was the LPA made aware that their project had been selected? What was the date?

## **2. PROJECT IDENTIFICATION (CMAQ Projects):**

- 2.1 How was the LPA made aware of the program and funding availability?
- 2.2 What was the date of the LPA application to the MPO?
- 2.3 How was the LPA made aware that their project had been selected? What was the date?

## **3. PROJECT PROGRAMMING:**

- 3.1 What was the date of the minute order approved by the Transportation Commission?
- 3.2 When was the project approved on the TIP/STIP?
- 3.3 What was the date of the ...../LPA Project Agreement?
- 3.4 What was date of the FHWA Letter of Authority (FLOA)?
- 3.5 What was the date of ..... Letter of Authority (SLOA)?

## **4. PROJECT AGREEMENT:**

4.1 Were the following items included in the Project Agreement? Who is Responsible (Circle the answer and the responsible Agency)?

NEPA Clearance Yes No LPA / Dist N/A

Right of Way acquisition and

relocation assistance Yes No LPA / Dist N/A

Utility relocation/adjustments Yes No LPA / Dist N/A

Hazardous Materials

investigations/remediation/

cost recovery Yes No LPA / Dist N/A

Preliminary Engineering Yes No LPA / Dist N/A

Construction/Construction

Engineering Yes No LPA / Dist N/A

Maintenance Yes No LPA / Dist N/A

Cost Preparation and Funding

Requirements Yes No LPA / Dist N/A

Agencies Responsibilities Yes No LPA /Dist N/A

Scope of Work Yes No LPA / Dist N/A

Contract Period Yes No LPA / Dist N/A

Contract Termination and

mutual agreement Yes No LPA / Dist N/A

Civil Rights/DBE Goal Yes No LPA / Dist N/A

4.2 Who is the ..... District designated representative for LPA projects and was the LPA given the name of this individual?

4.3 What are the responsibilities of the LPA representative?

4.4 Who drafted the Project Agreement?

4.5 Was assistance requested in drafting agreement from the General Services Division, Contract Administration Section? If so, what assistance was provided?

## **5. ENVIRONMENTAL CLEARANCE**

5.1 What Class of Action was performed?

5.2 Was the NEPA process completed by LPA staff or a Consultant working for LPA? If done by a consultant using Federal-aid funds, did LPA follow Consultant Selection Procedures?

5.3 What is the date of FHWA approval of the environmental document?

5.4 What is the date of environmental clearance by ..... Environmental Affairs Division?

5.5 Did the District assign a liaison to the LPA for environmental assistance?

5.6 Were commitments made in the environmental document kept throughout the project?

5.7 What assistance did you get from the Environmental Affairs Division?

5.8 What public involvement was undertaken on this project?

5.9 Were there any permits required under the NEPA process?

5.9.1 What permits?

5.9.2 Date permits were issued?

## **6. RIGHT OF WAY**

Complete this process if the LPA performed the right of way acquisition on the project.

6.1 Was the LPA provided with copies of ..... 's "Real Estate Acquisition Guide for Local Public Agencies"?

Complete this process if the LPA Performed the right of way acquisition on the project.

6.2 Did the District assign a liaison to the LPA for right of way process? If so who?

6.3 Did the ROW Division provide any assistance? If so, what assistance was provided?

Complete the following questions if LPA performed relocation assistance:

6.4 Did the District provide guidance for relocation assistance process?

6.5 Was Relocation Assistance administered by LPA?

6.6 Was Relocation Assistance carried out by a consultant?

6.6.1 If so, were Federal-aid funds used?

6.6.2 If Federal-aid funds were used, did the LPA follow Consultant Selection Procedures?

## **7. DESIGN**

Complete following questions if design functions were performed by the LPA:

7.1 What design standards were used? (AASHTO, AIA)

7.2 If the project was designed by consultant, who hired them? ..... or LPA

7.3 If the LPA hired the consultant,

7.3.11 Did they follow ..... process in selecting consultant?

7.3.2 What was the basis for payment? (Percentage of completion, cost plus fixed fee)

7.4 Was any Force Account used during construction of this project?

7.4.1 If yes, did the LPA follow Attachment B of October 23, 1996, guidance memorandum from ..... to All District Engineers (Contracting Letting by LPAs)?

7.4.2 What is the date of ..... 's approval for Force Account?

## **8. PROJECT REVIEW AND OVERSIGHT BY ....., DISTRICT AND LPA**

8.1 How is review and oversight provided?

8.2 Do you have any written guidance on the roles and responsibilities?

8.3 Do you require documentation of oversight activities?

## 9. PREQUALIFICATION AND LETTING PROCEDURES

9.1 Did project have a three week advertising period?

9.1.1 What was the date of FHWA Letter of Authority?

9.1.2 What was the date of State Letter of Authority?

9.1.3 What was the date of Advertisement?

9.1.4 Please provide advertisement documentation?

9.2 Did project have 3 week availability of plans and specifications? Where?

9.3 Was award based on lowest responsive bid submitted by bidder having met established criteria of responsibility?

9.4 Was there negotiation or provisions for negotiation with contractors between bid opening and award of contract?

9.5 Was mandatory pre-bid conference attended by all bidders?

9.6 Did prequalification, bidding and award procedures follow information in instructions to bidders, advertisement and bid document?

9.6.1 Was there a requirement for a Certificate of Authority from the Secretary of State's Office prior to bidding?

9.6.2 Was ambiguity contradiction, errors, etc. noted in procedures for prequalification or letting?

9.7 Were any reciprocal non-resident restrictions applied?

9.8 Are any discriminatory procedures noted?

9.9 How does the ..... person in responsible charge of the project ensure that the LPA is informed of their responsibilities in administering the project?

9.10 Was/is the scope of the project as approved by ..... Commission?

9.11 Was any bidder prohibited by suspension, debarment or voluntarily exclusion under 49 CFR, Part 29, from participating in the federal-aid program?

9.11.1 Who checks the debarred bidders list?

9.11.2 How?

9.12 Was apparent low bid analyzed for unbalancing?

9.12.1 Who analyzed the bid?

9.12.2 How was the analysis conducted?

9.13 Does bid document contain:

9.13.1 Form FHWA 1273 (Rev. 12-93)?

9.13.2 Child Support Statement?

9.13.3 Disclosure of Lobbying Activities (SF- LLL)?

9.13.4 Anti-Collusion Affidavit (sworn or unsworn)?

9.13.5 Contractor's Assurance (Subcontracts-Federal Aid Projects)?

9.13.6 Listing of non-responsive bid determination criteria?

9.14 Was rejection of bid for a reason not identified in bid document.

9.15 Are there any restrictions in place to prohibit competition?

## **10. CONTRACT ADMINISTRATION**

10.1 Were on the job wage rate interviews conducted to compare with wage rates and tables?

10.2 Did the contractor/sub contractor submit weekly payrolls?

10.2.1 If so, to whom?

10.2.2 What type of review was conducted?

10.2.3 Were discrepancies found?

10.2.4 If so, how were they resolved?

10.3 Who approved the sub contract?

10.4 Did the prime contractor do 30 percent of the work.

10.4.1 Was this verified?

10.4.2 Who verified the percentage?

10.5 Was there a DBE goal on the project? If so, were any of the sub contractors certified DBE's?

10.6 Change Orders - List of all change orders should be available when interviews are conducted.

10.7 Contract Time Schedule - should be available for review.

10.7.1 Were days charged in accordance with the contract?

10.7.2 Were there any time extensions or suspension? (Are they valid?)

10.7.3 Did the district approve all of the time extensions.

10.8 Who ran the project on a day to day basis?

10.9 What was the LPA's role in the project? What was the District's role?

10.10 If the LPA used a consultant, Did they follow the FHWA consultant selection process?

## **11. FINANCIAL AND PROJECT TRACKING**

11.1 How is the LPA reimbursed for its eligible costs on a project?

11.2 How does ..... project manager ensure that only eligible costs are reimbursed to LPA?

11.3 Does ..... audit the LPA's supporting records to ensure they support all billed costs?

11.4 Does ..... monitor project progress to ensure timely completion and closure?

11.5 Does ..... cancel inactive projects?

11.6 Who prepares Form FHWA 1446 final Acceptance Report to accept the project?

11.7 Which offices are provided with a copy of the FHWA 1446?

11.8 What is the best method to follow-up on inactive projects: Through the central office or with the districts directly?

**INFORMATION TO BE PROVIDED BY THE DISTRICT:**

PS&E package (Project Manager's copy)

List of Approved Design Exceptions

Project Agreement between LPA & .....

Approved Environmental Document (@FHWA Division Office)

Copy of the approved project on the local TIP/STIP (@FHWA Division Office)

Copy of Consultant Agreement for all processes which used Federal-aid funds:

NEPA Process

Right of Way

Design

Construction Engineering

Copy of Advertisement

Copy of Bid Tabulation

Copy of prequalification Statement

Name, address, and phone number of project manager for each project.

List of Field Changes

Copy of the Project Application (@ ..... Design Division)